

To: Chan, Renee[Chan.Renee@EPA.GOV]
Cc: Ortesi, Marie[Ortesi.Marie@epa.gov]; Swann, Veronica[Swann.Veronica@epa.gov]; Mak, Magdalen[Mak.Magdalen@epa.gov]; Wills, Craig[wills.craig@epa.gov]; 'Amber Torres'[freebella123@yahoo.com]; Wilson, Stephanie[Wilson.Stephanie@epa.gov]
From: kfrazier@wrpt.us
Sent: Thur 6/8/2017 12:05:08 AM
Subject: RE: Walker River Audit (Report No. 15-2-0165) - Corrective Actions - final due date 06/30/2017

Drafts of all policies have been completed but not formally accepted by council. They wanted a legal opinion which may take some time. But it will be submitted by 6/30/17. The audit is on the agenda for tomorrow's council meeting so hopefully I can get that to you by Friday.

Kathleen Frazier

Finance Director

Walker River Paiute Tribe

1022 Hospital Road

P.O. Box 220

Schurz, NV 89427

T: 775-773-2306 X312

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kfrazier@wrpt.us



From: Chan, Renee [mailto:Chan.Renee@EPA.GOV]
Sent: Wednesday, June 07, 2017 4:52 PM
To: 'kfrazier@wrpt.us' <kfrazier@wrpt.us>
Cc: Ortesi, Marie <Ortesi.Marie@epa.gov>; Swann, Veronica <Swann.Veronica@epa.gov>; Mak, Magdalen <Mak.Magdalen@epa.gov>; Wills, Craig <wills.craig@epa.gov>; 'Amber Torres' <freebella123@yahoo.com>; Wilson, Stephanie <Wilson.Stephanie@epa.gov>
Subject: RE: Walker River Audit (Report No. 15-2-0165) - Corrective Actions - final due date 06/30/2017

Hi Kathy –

Just checking in to be sure that everything will be done by 6/30/2017. When you get a chance, please let us know the status.

Right now, I have a GAP and 106 application waiting to be funded.

Thanks,

Renee Chan

R9-Grants Management Office, EMD-6-1

75 Hawthorne Street

San Francisco, CA 94105

ph: 415-972-3675

Chan.Renee@epa.gov

From: Chan, Renee

Sent: Wednesday, April 5, 2017 3:33 PM

To: 'kfrazier@wrpt.us' <kfrazier@wrpt.us>

Cc: Ortesi, Marie <Ortesi.Marie@epa.gov>; Swann, Veronica <Swann.Veronica@epa.gov>; Mak, Magdalen <Mak.Magdalen@epa.gov>; Wills, Craig <wills.craig@epa.gov>; 'Amber Torres' <freebella123@yahoo.com>

Subject: RE: Walker River Audit (Report No. 15-2-0165) - Corrective Actions - final due date 06/30/2017

Hi Kathy (I am also cc'ing Chairperson Torres) –

I understand the Personnel policies were not discussed or received approval by Tribal Council by the due date of 3/31/2017.

At this point, EPA will revise the Personnel policies due date to 6/30/2017 – the same due date that all the remaining internal policies and procedures are due.

Bottom line – All Internal Policies and Procedures are due 6/30/2017.

Please note that if this corrective action is not met by 6/30/2017 that future funding may be delayed or restriction of payment may be enforced*. EPA cannot provide any more extensions on this corrective action.

Audit Title/Report No.	Rpt Date	Recommendation
Walker River Paiute Tribe Needs to Improve Its Internal Controls to Comply With Federal Regulations (15-2- 0165)	06/11/15 Region 9	5. Require the Walker River Paiute Tribe to establish internal controls to ensure compliance with federal regulations and tribal policies.

*Pursuant to EPA grant regulation 2 CFR §200.338, if a grantee materially fails to comply with any term of an award, whether stated in Federal statute, regulation, an assurance, a notice of award or elsewhere, EPA may take one or more of the following actions:

(a) Temporarily withhold cash payments pending correction of the deficiency by the non-Federal entity or more severe enforcement action by the Federal awarding agency or pass-through entity.

(b) Disallow (that is, deny both use of funds and any applicable matching credit for) all or part of the cost of the activity or action not in compliance.

(c) Wholly or partly suspend or terminate the Federal award.

(d) Initiate suspension or debarment proceedings as authorized under 2 CFR part 180 and Federal awarding agency regulations (or in the case of a pass-through entity, recommend such a proceeding be initiated by a Federal awarding agency).

(e) Withhold further Federal awards for the project or program.

(f) Take other remedies that may be legally available.

Please let me know if you have any questions or concerns. Please understand that our agency is under much oversight. Thanks!

Renee Chan

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ph: 415-972-3675

Chan.Renee@epa.gov

From: kfrazier@wrpt.us [<mailto:kfrazier@wrpt.us>]

Sent: Monday, April 3, 2017 4:58 PM

To: Mak, Magdalen <Mak.Magdalen@epa.gov>

Cc: Chan, Renee <Chan.Renee@EPA.GOV>; Ortesi, Marie <Ortesi.Marie@epa.gov>; Swann, Veronica <Swann.Veronica@epa.gov>

Subject: RE: Walker River Audit (Report No. 15-2-0165) - Corrective Action

Unfortunately the approval of the personnel policy was tabled by the tribal council at the last council meeting on 3/09/17. I have no date on when it might be rescheduled for approval as there were a number of issues that needed to be resolved. The financial management policy was contracted out but no completion date as of today.

Kathleen Frazier

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kfrazier@wrpt.us



From: Mak, Magdalen [<mailto:Mak.Magdalen@epa.gov>]

Sent: Friday, March 31, 2017 4:57 PM

To: kfrazier@wrpt.us

Cc: Chan, Renee <Chan.Renee@EPA.GOV>; Ortesi, Marie <Ortesi.Marie@epa.gov>; Swann, Veronica <Swann.Veronica@epa.gov>

Subject: RE: Walker River Audit (Report No. 15-2-0165) - Corrective Action

Hi Kathy,

I am following up with you regarding the submission of the Personnel Policies and Procedures and the rest of the manual. Please send in the said documents as indicated in your email below in a timely manner.

Thank you for your attention,

Magdalen Mak

Audit Follow-up Coordinator, R9

US EPA, Region 9, EMD-4-1

75 Hawthorne Street,

San Francisco, CA 94105

mak.magdalen@epa.gov

ph: 415-972-3773

fax: 415-947-3556

From: kfrazier@wrpt.us [<mailto:kfrazier@wrpt.us>]

Sent: Tuesday, February 14, 2017 4:12 PM

To: Mak, Magdalen <Mak.Magdalen@epa.gov>

Cc: Chan, Renee <Chan.Renee@EPA.GOV>; Ortesi, Marie <Ortesi.Marie@epa.gov>; Swann, Veronica <Swann.Veronica@epa.gov>

Subject: RE: Walker River Audit (Report No. 15-2-0165) - Corrective Action

3/31/17 for the Personnel Policies and Procedures. 6/30/17 for the rest. here are 6 total manuals that are to be updated.

Kathleen Frazier

Finance Director

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kfrazier@wrpt.us



From: Mak, Magdalen [<mailto:Mak.Magdalen@epa.gov>]

Sent: Tuesday, February 14, 2017 3:47 PM

To: kfrazier@wrpt.us

Cc: Chan, Renee <Chan.Renee@EPA.GOV>; Ortesi, Marie <Ortesi.Marie@epa.gov>; Swann, Veronica <Swann.Veronica@epa.gov>

Subject: RE: Walker River Audit (Report No. 15-2-0165) - Corrective Action

Hi Kathy,

Please provide a completion date for the policies and procedures because we have to notify the OIG if it goes beyond the target date of 12/31/16 as indicated in your email dated 10/21/16.

Thank you for your attention,

Magdalen Mak

Audit Follow-up Coordinator, R9

US EPA, Region 9, EMD-4-1

75 Hawthorne Street,

San Francisco, CA 94105

mak.magdalen@epa.gov

ph: 415-972-3773

fax: 415-947-3556

From: kfrazier@wrpt.us [<mailto:kfrazier@wrpt.us>]
Sent: Tuesday, February 14, 2017 2:44 PM
To: Chan, Renee <Chan.Renee@EPA.GOV>; Ortesi, Marie <Ortesi.Marie@epa.gov>
Cc: Mak, Magdalen <Mak.Magdalen@epa.gov>; Swann, Veronica <Swann.Veronica@epa.gov>
Subject: RE: Walker River Audit (Report No. 15-2-0165) - Corrective Action

Hi there – Sorry for the delay. We (the finance office) are in the process of moving our office and I am temporarily at another desk (Extension 322). We are still in the process of updating the policies and procedures manuals. I just received word from the consultant yesterday that he is still working on them. I cannot give you a completion date but will keep you updated on the status.

Kathleen Frazier

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kfrazier@wrpt.us



From: Chan, Renee [<mailto:Chan.Renee@EPA.GOV>]
Sent: Tuesday, February 14, 2017 1:48 PM
To: Ortesi, Marie <Ortesi.Marie@epa.gov>
Cc: Mak, Magdalen <Mak.Magdalen@epa.gov>; Swann, Veronica

<Swann.Veronica@epa.gov>; 'kfrazier@wrpt.us' <kfrazier@wrpt.us>

Subject: RE: Walker River Audit (Report No. 15-2-0165) - Corrective Action

Hi Marie –

I called Kathy Frazier, but no answer. I left her a vm to either respond to email or call you or me.

Thanks,

Renee Chan

R9-Grants Management Office, EMD-6-1

75 Hawthorne Street

San Francisco, CA 94105

ph: 415-972-3675

Chan.Renee@epa.gov

From: Chan, Renee

Sent: Tuesday, February 14, 2017 11:47 AM

To: Ortesi, Marie <Ortesi.Marie@epa.gov>

Cc: Mak, Magdalen <Mak.Magdalen@epa.gov>; Swann, Veronica
<Swann.Veronica@epa.gov>

Subject: RE: Walker River Audit (Report No. 15-2-0165) - Corrective Action

I haven't heard from Kathy – usually, she is very responsive – maybe she was out.

Do you want to call her or I can try this after lunch? Let me know.

Kathleen Frazier

Finance Director

Walker River Paiute Tribe

Schurz, NV 89427

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Renee Chan

R9-Grants Management Office, EMD-6-1

75 Hawthorne Street

San Francisco, CA 94105

ph: 415-972-3675

Chan.Renee@epa.gov

From: Ortesi, Marie

Sent: Tuesday, February 14, 2017 11:08 AM

To: Chan, Renee <Chan.Renee@EPA.GOV>

Cc: Mak, Magdalen <Mak.Magdalen@epa.gov>; Swann, Veronica
<Swann.Veronica@epa.gov>

Subject: RE: Walker River Audit (Report No. 15-2-0165) - Corrective Action

Renee,

Have we heard anything back from the tribe. If not, perhaps the program and follow up to see if they have more success in getting a response. We need to update the SMT report today.

Thanks.

From: Chan, Renee
Sent: Friday, February 03, 2017 5:16 PM
To: 'kfrazier@wrpt.us' <kfrazier@wrpt.us>
Cc: Mak, Magdalen <Mak.Magdalen@epa.gov>; Amber Torres <freebella123@yahoo.com>;
Ortesi, Marie <Ortesi.Marie@epa.gov>
Subject: Walker River Audit (Report No. 15-2-0165) - Corrective Action

Hi Kathy –

Just following up on the status of the Corrective Action.

- If completed, please provide the implementation date.
- If not completed, please provide a revised due date.

Thanks,

Renee Chan

R9-Grants Management Office, EMD-6-1

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ph: 415-972-3675

Chan.Renee@epa.gov

From: kfrazier@wrpt.us [mailto:kfrazier@wrpt.us]
Sent: Friday, October 21, 2016 2:45 PM
To: Chan, Renee <Chan.Renee@EPA.GOV>
Cc: Mak, Magdalen <Mak.Magdalen@epa.gov>; Amber Torres <freebella123@yahoo.com>
Subject: RE: Please response by mid-Nov or sooner: Walker River Audit (Report No. 15-2-

0165)

Renee – WRPT has collected proposals for updating all policies and procedures by 12/31/16. Additionally the finance department is requiring strict adherence of all departments to follow the procurement, travel and personnel policies/procedures consistently to ensure compliance with federal regulations. In early 2017 I hope to bring in a trainer for all directors on the new OMB Super Circular.

I will update you on our progress.

Kathleen Frazier

Finance Director

Walker River Paiute Tribe

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kfrazier@wrpt.us



From: Chan, Renee [<mailto:Chan.Renee@EPA.GOV>]

Sent: Friday, October 21, 2016 1:41 PM

To: kfrazier@wrpt.us

Cc: Mak, Magdalen <Mak.Magdalen@epa.gov>

Subject: Please response by mid-Nov or sooner: Walker River Audit (Report No. 15-2-0165)

Hi Kathy –

I am just checking on the status of the corrective action (see email below from Magdalen – works in Marie's office).

If you have any questions, please let us know. Thanks,

Renee Chan

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From: Mak, Magdalen
Sent: Wednesday, October 19, 2016 10:40 AM
To: Chan, Renee <Chan.Renee@EPA.GOV>
Cc: Ortesi, Marie <Ortesi.Marie@epa.gov>
Subject: Walker River Audit (Report No. 15-2-0165)

Hi Renee,

Can you check with the tribe if the corrective actions for recommendation 5 of the following audit has been completed? Please let me know the status and provide the supporting document if completed.

Audit Title/Report No.	Rpt Date Target date	Recommendation
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Walker River Paiute Tribe
Needs to Improve Its
Internal Controls to Comply
With Federal Regulations
(15-2-0165)

06/11/15 Region 9 5. Require the Walker River Paiute Tribe to establish internal controls to ensure compliance with federal regulations and tribal policies. 12/31/16

Thanks,

Magdalen

From: Kathleen Frazier [<mailto:frazier.kath606@yahoo.com>]
Sent: Wednesday, March 23, 2016 10:01 AM
To: Ortesi, Marie <Ortesi.Marie@epa.gov>
Cc: Mak, Magdalen <Mak.Magdalen@epa.gov>; Chan, Renee <Chan.Renee@EPA.GOV>
Subject: Re: Corrective Action for Audit - Walker River

We are still working on this but, no, this has not been completed to date. Our consultant has informed us that the deadline has been extended to December 31, 2016 for tribes to be in compliance with the new OMB Supercircular. I will keep you updated on our progress.

Kathleen Frazier

Finance Director

Walker River Paiute Tribe

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kfrazier@wrpt.us



On Wednesday, March 23, 2016 6:24 AM, "Ortesi, Marie" <Ortesi.Marie@epa.gov> wrote:

Kathi,

Under Recommendation 5, the tribe submitted a corrective action with target completion date of March 2016 for instituting and updating all policies and procedures to be in compliance with 2 CFR Part 200. Please let us know if this has been completed and if you can forward us the procedures.

We will need this in order to close out the audit.

Thank you.

Marie Ortési

U.S. EPA, Region IX

75 Hawthorne Street (EMD 4-1)

San Francisco, CA 94105

(415) 972-3710

Ortesi.marie@epa.gov